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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/941,899	08/29/2001	Masashi Kon	09792909-5131	7570

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EXAMINER

FIELDS, COURTNEY D

ART UNIT	PAPER NUMBER
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2137

DATE MAILED: 11/03/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/941,899

Applicant(s)

KON ET AL.

Examiner

Courtney D. Fields

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 08 August 2005.  
2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.  
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-15 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.  
5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
6) ☒ Claim(s) 1-15 is/are rejected.  
7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.  
8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.  
10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)  
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.  
4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.  
5) ☐ Notice of Informal Patent Application (PTO-152)  
6) ☐ Other: \_\_\_\_\_.

### **DETAILED ACTION**

1. Claims 1 and 10-15 have been amended.
2. Claims 1-15 are pending.

### ***Response to Arguments***

1. Applicant's arguments with respect to claim 1 have been considered but are moot in view of the new ground(s) of rejection, Asay et al. (US Patent No. 5,903,882).

### ***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1-15 are rejected under 35 U.S.C. 102(b) as being anticipated by Asay et al. (US Patent No. 5,903,882).

Referring to the rejection of claim 1, Asay et al. discloses a person identification certificate link system comprising an entity which forms a link correlating at least two certificates including a public key certificate which stores a public key serving as a cryptographic key and which is generated by a first certificate authority and a person identification certificate which stores a template serving as person identification data and which is generated by a second certificate authority, thereby specifying one related

certificate based on the other certificate in Column 1, lines 66-67 and Column 2, lines 1-20.

Referring to the rejection of claim 2, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein the link between the certificates comprises a link which relates the person identification certificate with the public key certificate of a public key applied to encrypt the template stored in the person identification certificate in Column 17, lines 28-40.

Referring to the rejection of claim 3, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein the link between the certificates comprises a link which relates the person identification certificate with the public key certificate which are both used to establish a connection with a data communication partner in Column 17, lines 41-65.

Referring to the rejection of claim 4, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein one of the public key certificate and the person identification certificate stores, as data, an identifier of a different certificate which is linked thereto in Column 14, lines 18-42.

Referring to the rejection of claim 5, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein one of the public key certificate and the person identification certificate stores, as data, an identifier of a link structure serving as link identification data and identifiers of the linked public key certificate and person identification certificate in Column 19, lines 48-59.

Referring to the rejection of claim 6, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein group information including a group of identifiers of the linked public key certificate and person identification certificate is formed and managed as data separate from the certificates in Column 33, lines 20-56.

Referring to the rejection of claim 7, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein: group information including a group of identifiers of the linked public key certificate and person identification certificate is formed and managed as data separate from the certificates; and a link for specifying, based on the group information serving as primary information, secondary information related to the group information is formed in Column 11, lines 3-42, 56-66 and Column 12, lines 1-8.

Referring to the rejection of claim 8, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein one of the public key certificate and the person identification certificate stores a different certificate which is linked thereto in Column 23, lines 32-40.

Referring to the rejection of claim 9, Asay et al. discloses a person identification certificate link system according to Claim 1, wherein the certificate authority and the second certificate authority are formed as third-party agencies which are not users of the public key certificate and the person identification certificate in Column 35, lines 59-67.

Referring to the rejection of claims 10, 12, and 14, Asay et al. discloses an information processing apparatus for authenticating a person by comparing a template

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corresponding to person identification data acquired from sampling information input by a user, said information processing apparatus comprising an entity which encrypts and stores template information including the template; which obtains the encrypted template from a person identification certificate generated by a first certificate authority, which is a third-party agency; which specifies a public key certificate generated by a second certificate authority which is a third-party agency in accordance with link information stored in the person identification certificate; which specifies a cryptographic key to the template based on the specified public key certificate and which encrypts or decrypts the template in Column 17, lines 6-65.

Referring to the rejection of claims 11,13, and 15, Asay et al. discloses an information processing apparatus for authenticating a person by comparing a template corresponding to person identification data acquired from sampling information input by a user, said information processing apparatus comprising an entity which obtains an encrypted template from a person identification certificate generated by a first certificate authority, which is a third-party agency, and which authenticates the person based on the template; and which specifies a public key certificate generated by a second certificate authority which is a third-party agency in accordance with link information stored in the person identification certificate and which performs mutual authentication or encrypted data communication with a data communication partner based on the specified public key certificate in Column 18, lines 16-67 and Column 19, lines 1-16.

***Conclusion***

3. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Courtney D. Fields whose telephone number is 571-272-3871. The examiner can normally be reached on Mon - Thurs. 6:00 - 4:00 pm; off every Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on 571-272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

*CNOA*

cdf

October 24, 2005

*Matthew Smithers*  
MATTHEW SMITHERS  
PRIMARY EXAMINER  
*Art Unit 2137*